

# **Alabama Department of Postsecondary Education**

## **Functional Analysis & Records Disposition Authority**

**Revision  
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## Table of Contents

### Functional and Organizational Analysis of the Alabama Department of Postsecondary Education

Sources of Information .....	<a href="#">1-1</a>
Historical Context of Function .....	<a href="#">1-1</a>
Agency Organization .....	<a href="#">1-2</a>
Agency Function and Subfunctions .....	<a href="#">1-3</a>
Administering Public Education .....	<a href="#">1-3</a>
Serving as Secretary to the Board of Education .....	<a href="#">1-3</a>
Representing .....	<a href="#">1-3</a>
Managing Instructional Services. ....	<a href="#">1-4</a>
Administering Internal Operations. ....	<a href="#">1-4</a>
Attachments: Organizational Chart .....	<a href="#">1-5</a>

### Analysis of Record Keeping System and Records Appraisal of Alabama Department of Postsecondary Education

Agency Record Keeping System .....	<a href="#">2-1</a>
Records Appraisal .....	<a href="#">2-1</a>
Temporary Records .....	<a href="#">2-2</a>
Permanent Records .....	<a href="#">2-3</a>
Permanent Records List .....	<a href="#">2-10</a>

### Alabama Department of Postsecondary Education Records Disposition Authority

Explanation of Records Requirements .....	<a href="#">3-1</a>
Records Disposition Requirements .....	<a href="#">3-2</a>
Administering Public Education .....	<a href="#">3-2</a>
Serving as Secretary to the Board of Education .....	<a href="#">3-3</a>
Representing .....	<a href="#">3-3</a>
Managing Instructional Services .....	<a href="#">3-4</a>
Administering Internal Operations .....	<a href="#">3-4</a>
Approval of Records Disposition Authority .....	<a href="#">3-12</a>

# **Functional and Organizational Analysis of the Alabama Department of Postsecondary Education**

## **Sources of Information**

Representatives of the Department of Postsecondary Education

Constitution of 1901, Article XIV, Section 262 and Amendment 284

Code of Alabama 1975, Sections 16-60-111 through 16-60-114 (Department of Postsecondary Education)

Code of Alabama 1975, Sections 16-60-1 through 16-60-280 (Trade Schools and Junior Colleges)

*Shuford v. Alabama State Board of Education*, 978 F. Supp. 1008 (M. D. Ala. 1997)

Alabama Government Manual (1998)

Alabama State Board of Education, Chancellor's Special Report (1997-1998)

Alabama State Board of Education, Chancellor's Annual Report (1989-1990)

Alabama State Board of Education, Chancellor's Biennial Report (1983-1985)

Report of the Commission on High Technology representing Alabama's Junior, Community, and Technical Colleges, 1983

Report of the Partnerships for Excellence Task Force, 1985

Department of Postsecondary Education Audit Report (1997–1999)

Government Records Division, State Agency Files (1985-ongoing)

Holdings of the Department of Archives and History for the State Board of Education and the Department of Postsecondary Education

## **Historical Context**

In May, 1982, the Alabama Legislature created the Department of Postsecondary Education (Acts of Alabama, no. 82-486). The department is a parallel organization to the State Department of Education and is directly responsible to the State Board of Education. This same act gave the State Board of Education the authority to appoint a chancellor to supervise the work of the department and to serve as chief executive officer of the board in carrying out the board's responsibility to operate and manage the junior colleges, community colleges, technical colleges, and Athens State University. Prior to 1982, the management of junior colleges, community colleges, technical colleges, and Athens State University was delegated by the board to the superintendent of education and the State Department of Education.

## Agency Organization

**State Board of Education:** The State Board of Education, created in 1919, determines policies for public education in the state of Alabama. Eight members, elected from Board of Education districts, and the governor make up the State Board of Education. The governor serves as the president, and the vice president is elected by the members. The members of the board serve four-year terms and must be qualified voters of the district they represent.

The State Board of Education constitutes the controlling authority for public education in Alabama. The State Board of Education supervises public education in the state through two parallel departments, the State Department of Education (which is responsible for K-12 education) and the Department of Postsecondary Education (which is responsible for postsecondary education). On the recommendations of the Department of Postsecondary Education and the Chancellor, the board makes rules and regulations for the Alabama College System and prescribes the courses of study to be offered and the conditions for granting certificates, diplomas, and/or degrees. The board also appoints the president of each college, prescribes qualifications and tenure requirement for faculty, and establishes salary schedules.

The chancellor, who is appointed by and serves at the pleasure of the board, is secretary and executive officer of the board for the Alabama College System.

**Chancellor:** The State Board of Education contracts with an individual to serve as the chancellor of the Alabama College System. The Alabama College System consists of twenty eight public two-year community, junior, and technical colleges, an upper division college (Athens State University), one industrial training institute, and five skills centers. The State Board of Education determines the authority and duties of the chancellor, subject to any regulations prescribed by the Alabama Legislature. The chancellor is responsible for administering public education as provided by statutory enactments and policies set by the board and for administering and supervising the Department of Postsecondary Education.

**Department of Postsecondary Education:** In May 1982, the legislature created the Department of Postsecondary Education (Code of Alabama 1975, Section 16-60-111). The department, whose chief executive officer is the chancellor, is responsible for the direction and supervision of the public community, junior, and technical colleges, for Athens State University, for one industrial training institute, and for the skills centers. The president of each of these colleges is directly responsible to the chancellor for the day-to-day operations of that institution. Currently, the Department of Postsecondary Education is organized into five divisions - Executive, Legal and Human Resources, Instructional and Student Services, Fiscal and Administrative Services, and Research and Information Services. The Records Disposition Authority (RDA) included with this document governs the records of the department only. Later work will encompass the records of the Alabama College System.

## Agency Function and Subfunctions

The mandated function of the State Board of Education is to establish policies, prescribe minimum course content, and exercise general control and supervision over the public postsecondary schools. The Department of Postsecondary Education executes the educational policies of the board in this area, and monitors and regulates the college system. Records documenting the activities of the board relating to postsecondary education are maintained by the department. It is one of the agencies responsible for performing the Client Services function. In the performance of its mandated function, the Department of Postsecondary Education may engage in the following subfunctions.

- **Administering Public Education.** The chancellor is the chief executive officer of the Alabama College System and, as such, has general control and supervision over the state's postsecondary public schools. The chancellor is responsible for administering public postsecondary education by reviewing the actions of the president of each college, recommending regulations and procedures to the Board of Education for the administration of public education in the state, recommending funding and budgetary allocations, and overseeing the operations of the department. To assist in administering public postsecondary education in the state, the chancellor may convene task forces and committees of civic, social, and business leaders to provide advice and recommendations on the future direction of the Alabama College System.
- **Serving as Secretary to the Board of Education.** The chancellor, as mandated by the Code of Alabama 1975, Section 16-16-111.5, serves as secretary of the State Board of Education and as chief executive officer of the Department of Postsecondary Education. The board secretary, a staff position hired by the chancellor and within the chancellor's office, is responsible for maintaining the Meeting Files and Minutes of the State Board of Education when it meets to discuss the Alabama College System.
- **Representing.** The Legal and Human Resources Office acts as chief legal advisor to the Department of Postsecondary Education in all matters relating to the college system. The office conducts or supervises all litigation in which the department is a party. The office prepares administrative and legal complaints; responds to inquiries relating to regulations; prepares legal opinions; represents the department in administrative hearings; and, upon request, reviews contracts, program proposals, and other documents for the offices.

Another aspect of representing the department is that of lobbying or representing the Alabama College System before the legislature. The department employs one staff member to perform this activity.

- **Managing Instructional Services.** The chancellor and the Department of Postsecondary Education are responsible for implementing the policies and directives of the State Board of Education with regards to instructional services. Activities included in this area consist of the following: administering federal programs, such as Displaced Homemakers and Sex-Bias Elimination; gathering enrollment statistics; administering the dual enrollment credit program for the Alabama College System; and, coordinating the development of a course directory. Other responsibilities of the department include participating in the Articulation and General Studies Committee, which was established by the Code of Alabama 1975, Section 16-5-8(4e) and enabled a smooth transition from quarter to semester hours.
- **Administering Internal Operations.** A significant portion of the agency's activities include general administrative, financial, and personnel activities performed to support the programmatic areas of the agency.

**Managing the Agency:** Activities include internal office management activities common to most government agencies such as corresponding and communicating; scheduling; meeting; documenting policy and procedures; reporting; litigating; drafting, promoting, or tracking legislation; publicizing and providing information; managing records; and managing information systems and technology.

**Managing Finances:** Activities include budgeting (preparing and reviewing a budget package, submitting the budget package to the state Finance Department; documenting amendments and performance of the budget); purchasing (requisitioning and purchasing supplies and equipment, receipting and invoicing for goods, and authorizing payment for products received); accounting for the expenditure, encumbrance, disbursement, and reconciliation of funds within the agency's budget through a uniform system of accounting and reporting; authorizing travel; contracting with companies or individuals; bidding for products and services; assisting in the audit process; investing; and issuing bonds.

**Managing Human Resources:** Activities involved in managing human resources may include the following: recruiting and hiring eligible individuals to fill vacant positions within the agency; providing compensation and benefits to employees; supervising employees (evaluating performance, disciplining, granting leave, and monitoring the accumulation of leave); and providing training and continuing education for employees.

**Managing Properties, Facilities, and Resources:** Activities involved in managing properties, facilities, and resources may include the following: inventorying and accounting for non-consumable property and reporting property information to the appropriate authority; constructing buildings and facilities; leasing and/or renting offices or facilities; providing for security and/or insurance for property; and assigning, inspecting, and maintaining agency property, including vehicles.

# **Analysis of Record Keeping System and Records Appraisal of the Department of Postsecondary Education**

## **Agency Record Keeping System**

The Department of Postsecondary Education currently operates a hybrid record keeping system composed of a computer system and a paper-based record keeping system.

**Paper-based System:** Staff members maintain most of the agency's records in paper form. The department does not have a paper records management procedural manual for guiding staff in records storage, transfer, and disposition activities.

**Computer Systems:** The Department of Postsecondary Education operates a Local Area Network (LAN) to provide computing capabilities for the staff. The personal computers (PCs) within the department run both Windows 95 and Windows 98. The PCs operating Windows 95 are connected to an I-Net Host (Unix PC) via TCP/IP, to the departmental LAN via NetBEUI, and to the state campus ring via an SNA gateway. The LAN runs on the department's AS400 which also provides access to the campus ring. The network operating system is OS2. PCs are used for word processing applications and for financial and other applications. The LAN has approximately eighty devices attached to it, including thirty personal computers (PC).

The AS400 server utilizes OS2. The server also has print serving capabilities. The system is backed-up nightly (requires one 7 gig tape). The tapes are cycled weekly.

The department maintains the following databases: (1) BRACS -- funding model; (2) PERS -- providing historical data on college personnel and funding; (3) IPEDS -- personnel, college, and student information; 4)FRMS — state financial system for documenting the receipt and disbursements of funds and personnel actions; (5) Network Address Database -- maintains Network Interface Card (NIC) locations, and the names (or log-ons) of individuals on the network; (6) Colnames Database - maintains the official name, instructional sites, and contacts for each college.

## Records Appraisal

The following is a discussion of the two major categories of records created and/or maintained by the department: Temporary Records and Permanent Records.

**I. Temporary Records.** Temporary records should be held for what is considered their active life and be disposed of once all fiscal, legal, and administrative requirements have been met. Some of the temporary records created by the department are discussed below:

- **Salary Listings.** These records document the specific salary paid to an individual each year over the course of an employee's work time within the Alabama College System. These records contain information that may be used to verify employment and salary for retirement purposes. Employees of the Alabama College System are not subject to the provisions of the merit system although they participate in the benefits of the merit system (retirement and leave). Because they are non-merit employees, the individual personnel records at the Department of Postsecondary Education provide the only source for the records needed by the Retirement Systems of Alabama that establish an employee's right to and amount of retirement benefits. As a source document for retirement benefits, the salary listings are recommended for a 25 year retention.
- **Alabama College System Presidential Leave Files.** These records document the sabbatical and other paid leave earned and used by presidents of the various institutions of the Alabama College System. The records contain information that may be used to verify employment and leave balances for retirement purposes. Employees of the Alabama College System are not subject to the provisions of the merit system although they participate in the benefits of the merit system (retirement and leave). Because they are non-merit employees, the individual personnel records at the Department of Postsecondary Education provide the only source for the records needed by the Retirement Systems of Alabama that establish an employee's right to and amount of retirement benefits. As a source document for retirement benefits, this record is recommended for a 25 year retention after the president leaves the Alabama College System.
- **Records Documenting an Employee's Work History.** These records document the work history of each individual employee of the Alabama College System. The records contain information that may be used to verify employment, salary, and benefits for retirement purposes. Employees of the Alabama College System are not subject to the provisions of the merit system although they participate in the benefits of the merit system (retirement and leave). Because they are non-merit employees, the individual personnel records at the Department of Postsecondary Education provide the only source for the records needed by the Retirement Systems of Alabama that establish an employee's right to and amount of retirement benefits. As a source document for retirement benefits, this record is recommended for a twenty-five (25) year retention after the employee leaves the agency.



**II. Permanent Records.** The Government Records Division recommends the following records as permanent.

**Administering Public Education:**

- **Chancellor's College Files.** These records document the activities of the chancellor and the vice-chancellors in implementing the policies and regulations of the State Board of Education and in managing the Alabama College System. Typical records in these files include procedural memoranda to individual colleges, correspondence with college presidents, letters of complaint from students and faculty, requests for clarification of policies or directives, notifications of completion of board approved activities, and notifications of completion of committee/task force assignments. (RDA pg.3-2) **(Bibliographic Title: Administrative Policy Files)**
- **Administrative Files.** These records contain correspondence, memoranda, and reports sent between the State Board of Education, the Department of Postsecondary Education, and the Commission on Higher Education. These records serve to document all activities pertaining to The Alabama College System's relationship with the Commission on Higher Education. (RDA pg. 3-2) **(Bibliographic Title: Administrative Files of The Alabama College System)**
- **Records Relating to Outside Educational Agencies.** These records contain correspondence, reports, and documents sent to and received from state educational agencies outside of the Alabama College System. They serve to document the relationship that the Alabama College System has with the state's universities, K-12 institutions, and other educational entities. (RDA pg. 3-2) **(Bibliographic Title: Administrative Files Related to Agencies Other than The Alabama College System)**
- **Mergers and Consolidations.** These records document the numerous mergers and consolidations that have occurred in the Alabama College System. The files contain correspondence and financial and personnel information providing a history of the growth of the college system. (RDA pg. 3-2) **(Bibliographic Title: Consolidation and Merger Files of The Alabama College System)**
- **Speeches.** The speeches of the chancellor are the records of most historical importance which document a variety of topics ranging from financial and budgetary concerns for postsecondary education to the impact of proposed college mergers. (RDA pg.3-2) **(Bibliographic Title: Speeches)**

- **Task Force for Effectiveness Planning in Postsecondary Education.** A May 22, 1997, resolution of the State Board of Education established this task force to review the scope, role, and mission of the state's two-year colleges, and to make recommendations to the board relating to the overall effectiveness of Alabama's two-year colleges in meeting the challenges of preparing citizens for the 21<sup>st</sup> century. These records consist of reports, agenda, minutes, and correspondence of the task force. (RDA pg. 3-2) **(Bibliographic Title: Records of the Task Force for Effectiveness Planning in Postsecondary Education)**
- **Postsecondary Advisory Committee on Policy Matters.** This committee assists both the chancellor and the board in drafting and issuing policies on the management of the college system. These records consist of reports, correspondence, and minutes of the committee's meetings. (RDA pg.3-2) **(Bibliographic Title: Records of the Postsecondary Advisory Committee on Policy Matters)**
- **Memo Log Books.** These records are numbered memoranda from the chancellor to the State Board of Education and presidents of the two-year college system regarding the policies and procedures of the Alabama College System. These log books serve as a central point for gathering all policy memoranda issued by the board, or the chancellor. (RDA pg. 3-2) **(Bibliographic Title: Log Books of Policies and Procedures Memoranda of The Alabama College System)**
- **Alabama College System Calendar of Meetings and Reports Due Dates.** This yearly calendar provides dates-to-remember notes to all employees of the college system. Of particular interest are the dates of all board, task force, and committee meetings. This record serves as a point-of-reference to the chronological files of the department. (RDA pg. 3-3) **(Bibliographic Title: Calendar of Meetings and Due Dates of Reports of The Alabama College System)**
- **The Alabama College System Directory.** This directory, and its counterpart from the State Department of Education, provides a quick source for the names, mailing addresses, and presidents of all institutions within the Alabama College System. (RDA pg 3-3) **(Bibliographic Title: Directories of The Alabama College System)**

#### **Serving as Secretary to the Board of Education:**

- **State Board of Education Files (Board Secretary's).** These records consist of correspondence, agenda, minutes, and reports presented and voted on at the State Board of Education meetings. These files also include the audio tapes of each meeting. The records document policy and rule development by the department, resolutions proposed to and adopted by the board, and department and committees/task force reports to the board. These files are rich in documentation on postsecondary education in Alabama, its funding, policies, legislation, and progress/improvement. (RDA pg. 3-3) **(Bibliographic Title: Minutes and Supporting Documentation of the State Board of Education)**

- **Education Summit Records.** The State Board of Education and Department of Postsecondary Education hosted one Education Summit to discuss and plan for the future of the college system. These records document the summit and consist of correspondence and meeting notices, reports, and information packets distributed during the meeting. (RDA pg.3-3) (**Bibliographic Title: Planning Records and Supporting Documentation for the Alabama Education Summit**)

## **Representing:**

- **Closed Litigation Files.** The State Board of Education and Department of Postsecondary Education have been involved in several lawsuits which have shaped the educational system in Alabama including the Title VI Consent Decree litigation, Shuford v. Alabama State Board of Education, and DeWitt v. Gainous. These cases, and others like them, provide valuable information concerning discrimination, segregation, misconduct, and mismanagement charges filed against the state's two-year colleges. (RDA pg. 3-3) (**Bibliographic Title: Closed Litigation Files**)
- **U.S. v. Alabama Court Desegregation Case Files.** The case U.S., et al. v. Alabama, et al. (CV-83-M-1676-S) was filed on July 11, 1983, in the U.S. District Court, Northern District, Southern Division. The plaintiffs, the U.S. Justice Department and citizens of the state, allege that the defendants were maintaining a racially dual system of public higher education in violation of Title IV of the Civil Rights Act of 1964. These files include all documents and records gathered in support of the state's case as defendant in this suit. These records are valuable to historians as one of the primary sources for information concerning the desegregation of Alabama's two and four year colleges. (RDA pg.3-3) (**Bibliographic Title: Case File of U.S. v. Alabama Desegregation Lawsuit**)
- **Knight v. State of Alabama Files.** The court case Knight v. Alabama involved desegregation and equalization of funding and facilities at the state college and university level. These files include all documents and records gathered in support of the state's case as defendant in this suit. These records are valuable to historians as one of the primary sources for information concerning both desegregation and education funding in Alabama's four year colleges. (RDA pg. 3-3) (**Bibliographic Title: Case File of Knight v. Alabama Lawsuit**)
- **Office of Civil Rights Review Files.** These records document civil rights compliance reviews fulfilling the requirements of several consent decrees concerning hiring practices in the college system. They provide support documentation for the case files by showing how the Department of Postsecondary Education complied with the court's decisions . (RDA pg.3-3) (**Bibliographic Title: Compliance Files Documenting Office of Civil Rights Reviews**)

### **Managing Instructional Services:**

- **Academic Program Files.** To the department, these records provide a reference source for information regarding past college program proposals. They document the department's administration of the college system and the efforts of the college system in attempting to offer all requested or required courses for students who choose not to enter a university. (RDA pg. 3-4) **(Bibliographic Title: Academic Program Files)**
- **Alabama College System Course Directories.** These records serve as a mechanism for controlling and standardizing college system course offerings to ensure the quality of instruction. The directories are published annually and provide an overview of the variety of courses available through each college and represented in each college catalog. These records provide a concise form in which to document the courses offered at all of the institutions of the Alabama College System. (RDA pg.3-4) **(Bibliographic Title: Courses Directories of the Alabama College System)**

### **Administering Internal Operations - Managing the Agency:**

- **Enrollment Summaries (PERS+).** These records provide a summary record tracking the growth/decline in college enrollment, credit hour production, and the size of the current student body at each of the colleges. The raw data is maintained as part of the Integrated Postsecondary Education System discussed below. (RDA pg. 3-5) **(Bibliographic Title: Enrollment Summaries)**
- **IPEDS Surveys.** The Integrated Postsecondary Education Data System (IPEDS) is utilized in the collection of statistical data in support of both federal and state funding. This data, mostly enrollment and financial statistics, is transmitted from the individual colleges to the Department of Postsecondary Education. The department utilizes the data in several of its in-house reporting applications. The data is forwarded to the Commission on Higher Education for inclusion in the statewide information sent to the U. S. Department of Education, National Center for Education Statistics (NCES). This data provides historical information (it is available on-line back to 1992) on the growth and funding of the Alabama College System. (RDA pg. 3-5) **(Bibliographic Title: Statistical Data from Integrated Postsecondary Education Data System)**

- **Web Sites.** The department has a website at: [www.acs.cc.al.us](http://www.acs.cc.al.us). Information on the web includes basic historical facts about the Alabama College System, including its current goals and vision. Background on the chancellor and trustees positions and brief biographical sketches of the board members provide description of the leadership of the system. The website also includes a listing of board policies divided by category. Users may obtain lists of all institutions that are part of the Alabama College System and statistical information on individual institutions and the college system as a whole. For staff members of the Alabama College System, internal information for specific groups such as business officers may be obtained. Interested individuals may obtain job postings, contact information, and even directions. The website also provide web links to other educational related entities, prominent search engines, and nationally known news organizations. (RDA pg. 3-5)
  
- **Public Relations Materials.** These materials consist of information packets and publications routinely handed out to members of the legislature, press, and the public to advertise the economic benefits and advantages provided to the state and its citizenry by The Alabama College System. (RDA pg. 3-5) **(Bibliographic Title: Public Relations Materials)**
  
- **Chancellor's Annual Reports, Updates, and Other Special Reports.** The annual report of the department provides statistical and financial data covering enrollment, attendance, graduates, dropouts, staffing, and funding sources reported by college and state totals for the fiscal year. Special reports, such as a report on millennium issues, may be prepared at specific times to provide detailed information on projects important to the board and the college system as a whole. (RDA pg. 3-6) **(Bibliographic Title: Annual Reports; Bibliographic Title: Special Reports)**
  
- **Chancellor's Report Newsletters.** This newsletter, published by the department, provides an overview of college system news and events, departmental happenings, and new policies and procedures governing college system operations. This publication is distributed within the department and to the colleges of the Alabama College System. (RDA pg. 3-6) **(Bibliographic Title: Newsletters)**
  
- **Board Briefs.** This publication provides an at-a-glance look at the State Board of Education meeting for a particular month. In summary form, the briefs report on action items, attendance, public concerns, and resolutions of the board. This publication is distributed to the colleges and a select mailing list of public officials and citizens as a report or 'brief' on the activities of the board. (RDA pg. 3-6) **(Bibliographic Title: Board Briefs)**
  
- **News Releases.** These records document news releases of the department, its programmatic areas and staff, the chancellor, and the board on a variety of education topics including mergers and consolidations, hiring of new college presidents, disasters, academic excellence, court suits, and policy decisions. (RDA pg. 3-6) **(Bibliographic Title: News Releases)**

- **Photo Files.** These files provide images and negatives of State Board of Education members and meetings, department staff, college system presidents and faculty, and events that are used in various department and college system publications. These photos contain pictures of campus buildings and prominent individuals and serve as historical documentation of the Alabama College System. (RDA pg. 3-6) (**Bibliographic Title: Photographs**)
- **Alabama College System Fact Books.** The college system uses these books as publicity and information handouts to provide an overview of the Alabama College System. The books contain answers to frequently asked questions, such as how many institutions are in the college system, who is the chancellor, what is the total enrollment, and what is the college system budget. (RDA pg. 3-6) (**Bibliographic Title: Fact Books For The Alabama College System**)

#### **Administering Internal Operations - Managing Finances:**

- **Alabama Industrial Training Institute Contract Files.** These files document contract details for training and recruitment agreements between the Alabama Industrial Training Institute (AIDT) and businesses such as Mercedes Benz and Boeing. AIDT is actively involved in the recruiting of new businesses for the state and also in the training of a qualified workforce. These contract documents supplement the information available in the recruitment records of both the governor and of the Alabama Development Office. (RDA pg. 3-8) (**Bibliographic Title: Contract Files Documenting AIDT Activities**)

#### **Administering Internal Operations - Managing Human Resources:**

- **Chancellor Search Files.** These records document the national search and recruitment of a chancellor for the Department of Postsecondary Education. They provide evidence of the qualifications and types of individuals who were considered for the position as well as the requirements for the position. (RDA pg. 3-9) (**Bibliographic Title: Chancellor Search Files**)
- **Presidential Search Files.** These records document the national search and recruitment of individuals to fill college presidential vacancies. They provide evidence of the qualifications and types of individuals who were considered for the positions as well as the requirements for the positions. (RDA pg. 3-9) (**Bibliographic Title: College President Search Files**)

- **Shuford Correspondence to Lawyers and Colleges.** Humphrey L. Shuford et al., v. Alabama State Board of Education (civil action no. 89-T-196-N) is an ongoing class race and gender discrimination action against the Board of Education in which partial consent decrees were approved (846 F. Supp. 115 and 897 F. Supp 1535). In 1997, Dr. McClammy of Trenholm State Technical College filed a complaint-in-intervention, challenging his termination as violating Title VII, due process and the original Shuford consent decree resolving class-wide claims. This set of records contains correspondence to college system and department lawyers relating to the original (Shuford I) case and to subsequent complaints (Shuford II) filed against the board since the approval of the consent decree. Because of the longevity and far-reaching impact of this case, these records provide valuable historical documentation of the department's compliance with the consent decree and of the original complaints filed against the college system in Shuford I. (RDA pg. 3-9) **(Bibliographic Title: Correspondence Related to the Shuford v. Alabama State Board of Education Case)**
  
- **Shuford Annual Reports.** These records document the Alabama College System's good faith efforts to comply with the terms of the consent decree of Shuford I. The annual reports are utilized by staff to identify possible problems before a complaint is filed and to correct them. Because of the longevity and far-reaching impact of this case, these records provide valuable historical documentation of the department's compliance with the consent decree and of its efforts to end racial discrimination within the college system. (RDA pg. 3-9) **(Bibliographic Title: Annual Reports Ensuring Compliance with the Shuford v. Alabama State Board of Education Consent Decree)**
  
- **Individual State Board of Education Member Files.** The Department of Postsecondary Education maintains records documenting expense reimbursement, pay, and years of service for the Board of Education members. These records are not duplicated within the records of the Personnel Department or the Finance Department but should be retained for retirement purposes and as historical documentation on the composition of the board. Board members are not participants of the state retirement systems but their years of service count towards federal retirement benefits (Social Security). (RDA pg. 3-10) **(Bibliographic Title: Personnel Records Related to State Board of Education Members)**

#### **Administering Internal Operations - Managing Properties, Facilities, and Resources:**

- **Property Files.** These files provide documentation of land ownership for the college campuses of the Alabama College System. The institutions of the college system have economic impact on the communities they reside in and the closure, merger, or sale of campus properties dramatically affects some communities. These records document the locations of property owned by the college system and may be used in conjunction with the merger and consolidation records to track the growth (or decrease) in the size and number of campuses making up the college system. (RDA pg.3-11) **(Bibliographic Title: Records Documenting Land Ownership)**

## **Permanent Records List**

### **Department of Postsecondary Education**

#### **Administering Public Education:**

1. Chancellor's College Files
2. Administrative Files
3. Records Relating to Outside Educational Agencies
4. Mergers and Consolidations
5. Speeches and Presentation Materials
6. Task Force for Effectiveness Planning in Postsecondary Education
7. Postsecondary Advisory Committee on Policy Matters
8. Memo Log Books
9. Alabama College System Calendar of Meetings and Reports Due Dates
10. The Alabama College System Directory

#### **Serving as Secretary to the Board of Education:**

1. State Board of Education Files (Board Secretary's)
2. Education Summit Records

#### **Representing:**

1. Closed Litigation Files
2. U.S. v. Alabama Court Desegregation Case Files
3. Knight vs. State of Alabama Files
4. OCR Review Files

#### **Managing Instructional Services:**

1. Academic Program Files
2. Alabama College System Course Directories

#### **Administering Internal Operations - Managing the Agency:**

1. Enrollment Summaries (PERS+)
2. IPEDS Surveys
3. Web Sites
4. Public Relations Materials
5. Chancellor's Annual Reports, Updates, and Other Special Reports
6. Chancellor's Report Newsletters
7. Board Briefs
8. News Releases
9. Photo Files
10. Alabama College System Fact Books



**Administering Internal Operations - Managing Finances:**

1. AIDT Contract Files

**Administering Internal Operations - Managing Human Resources:**

1. Chancellor Search Files
2. Presidential Search Files
3. Shuford Correspondence to Lawyers and Colleges
4. Shuford Annual Reports
5. Individual Board of Education Member Files

**Administering Internal Operations: Managing Properties, Facilities, and Resources:**

1. Property Files

\*indicates records that ADAH anticipates will remain in the care and custody of the creating agency. ADAH staff is available to work with agency staff in determining the best location and storage conditions for the long-term care and maintenance of permanent records.

# Department of Postsecondary Education Records Disposition Authority

This Records Disposition Authority (RDA) is issued by the State Records Commission under the authority granted by the Code of Alabama 1975, Sections 41-13-5 and 41-13-20 through 21. It was compiled by the Government Records Division, Alabama Department of Archives and History (ADAH), which serves as the commission's staff, in cooperation with representatives of the Department of Postsecondary Education. The RDA lists records created and maintained by the Department of Postsecondary Education in carrying out its mandated functions and activities. It establishes retention periods and disposition instructions for those records and provides the legal authority for the agency to implement records destruction.

Alabama law requires public officials to create and maintain records that document the business of their offices. These records must be protected from "mutilation, loss, or destruction," so that they may be transferred to an official's successor in office and made available to members of the public. Records must also be kept in accordance with auditing standards approved by the Examiners of Public Accounts (Code of Alabama 1975, Sections 36-12-2, 36-12-4, and 41-5-23). For assistance in implementing this RDA, or for advice on records disposition or other records management concerns, contact the ADAH Government Records Division at (334) 242-4452.

## Explanation of Records Requirements

- This RDA supersedes any previous records disposition schedules governing the retention of the Department of Postsecondary Education. Copies of superseded schedules are no longer valid and should be discarded.
- The RDA establishes retention and disposition instructions for records listed below, regardless of the medium on which those records may be kept. Electronic mail, for example, is a communications tool that may record permanent or temporary information. As for records in any other format, the retention periods for e-mail records are governed by the requirements of the subfunctions to which the records belong.
- Some temporary records listed under the Administering Internal Operations subfunction of this RDA represent duplicate copies of records listed for long-term or permanent retention in the RDAs of other agencies.
- Certain records and record-related materials need not be retained as records under the disposition requirements in this RDA. Such materials include: (1) duplicate record copies that do not require official action, so long as the creating office maintains the original record for the period required; (2) catalogs, trade journals, and other publications received that require no action and do not document government activities; (3) stocks of blank stationery, blank forms, or other surplus materials that are not subject to audit and have become obsolete; (4) transitory records, which are temporary records created for short-term internal purposes that may include, but are not limited to telephone call-back messages; drafts of

ordinary documents not needed for their evidential value; copies of material sent for information purposes but not needed by the receiving office for future business; and internal communications about social activities. They may be disposed of without documentation of destruction.

## **Records Disposition Requirements**

This section of the RDA is arranged by subfunctions of the Department of Postsecondary Education and lists the groups of records created and/or maintained by the agency as a result of activities and transactions performed in carrying out these subfunctions. The agency may submit requests to revise specific records disposition requirements to the State Records Commission for consideration at its regular quarterly meetings.

### **■ Administering Public Education**

CHANCELLOR'S COLLEGE FILES  
Disposition: PERMANENT RECORD.

ADMINISTRATIVE FILES  
Disposition: PERMANENT RECORD.

RECORDS RELATING TO OUTSIDE EDUCATIONAL AGENCIES  
Disposition: PERMANENT RECORD.

MERGERS AND CONSOLIDATIONS  
Disposition: PERMANENT RECORD.

SPEECHES  
Disposition: PERMANENT RECORD.

Presentation Materials  
Disposition: Temporary Record. Retain for useful life.

TASK FORCE FOR EFFECTIVENESS PLANNING IN POSTSECONDARY EDUCATION  
Disposition: PERMANENT RECORD.

POSTSECONDARY ADVISORY COMMITTEE ON POLICY MATTERS  
Disposition: PERMANENT RECORD.

MEMO LOG BOOKS  
Disposition: PERMANENT RECORD.

College Activities Working Files  
Disposition: Temporary Record. Retain 2 years.

ALABAMA COLLEGE SYSTEM CALENDAR OF MEETINGS AND REPORTS DUE DATES  
Disposition: PERMANENT RECORD.

THE ALABAMA COLLEGE SYSTEM DIRECTORY  
Disposition: PERMANENT RECORD.

Departmental Correspondence with institutions of The Alabama College System  
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

■ **Serving as Secretary to the Board of Education**

STATE BOARD OF EDUCATION FILES (BOARD SECRETARY'S )  
Disposition: PERMANENT RECORD.

Copies of Board of Education Meeting Materials (held by department offices)  
Disposition: Temporary Record. Retain for useful life.

EDUCATION SUMMIT RECORDS  
Disposition: PERMANENT RECORD.

■ **Representing**

Active Litigation Files  
Disposition: Temporary Record. Retain until settlement of litigation, then place in closed litigation files.

CLOSED LITIGATION FILES  
Disposition: PERMANENT RECORD.

U.S. V. ALABAMA COURT DESEGREGATION CASE FILES  
Disposition: PERMANENT RECORD.

KNIGHT V. STATE OF ALABAMA FILES  
Disposition: PERMANENT RECORD.

OCR REVIEW FILES  
Disposition: PERMANENT RECORD.

Records documenting the employee appeal of formal reprimands, demotions, transfers, or terminations (Employee Appeal Files).  
Disposition: Temporary Record. Retain 25 years following decision.

Errors and Omissions/General Liability Reports  
Disposition: Temporary Record. Retain 25 years.

Records documenting Equal Employment Opportunity Commission (EEOC) complaints and lawsuits

Disposition: Temporary Record. Retain 25 years after final settlement.

Records documenting Board of Adjustment claims.

Disposition: Temporary Record. Retain 5 years after final settlement.

Legal Invoice Payment Letters

Disposition: Temporary Record. Retain 3 years.

Telephone Message Books

Disposition: Temporary Record. Retain 1 year.

Legislative Session Files

Disposition: Temporary Record. Retain for useful life.

## ■ **Managing Instructional Services**

Displaced Homemaker/Single Parent/Single Pregnant Women Project Files

Disposition: Temporary Record. Retain 5 years.

Sex Bias Elimination Project Files

Disposition: Temporary Record. Retain 5 years.

ACADEMIC PROGRAM FILES

Disposition: PERMANENT RECORD.

ALABAMA COLLEGE SYSTEM COURSE DIRECTORIES

Disposition: PERMANENT RECORD.

Articulation and General Studies Committee Records

Disposition: Temporary Record. Retain for useful life. (Official record maintained by Troy State University)

## ■ **Administering Internal Operations**

### **Managing the Agency:**

System Documentation (hardware/software manuals and diskettes, warranties, Y2K records)

Disposition: Temporary Record. Retain documentation of former system 3 years after the end of the fiscal year in which the former hardware and software no longer exists anywhere in the agency and permanent records have been migrated to a new system.

System Backup Tapes

Disposition: Temporary Record. Retain off-site in a temperature-controlled facility. System backup tapes should be reused on a rotating basis.

Source/Object Code Backups

Disposition: Temporary Record. Retain 2 weeks.

Data File Backup

Disposition: Temporary Record. Backup tapes and cartridges should be reused on a rotating basis.

Network Address Database

Disposition: Retain current network addresses.

System Maintenance Contracts

Disposition: Temporary Record. Retain 6 years after expiration of contract.

Purchase and Repair Order Documents

Disposition: Temporary Record. Retain for life of equipment.

Division College Computer Equipment Requests for Board Action over \$50,000 Files

Disposition: Temporary Record. Retain 5 years.

Division College Correspondence (relating to computer purchases)

Disposition: Temporary Record. Retain 3 years.

ISD Projects Documentation/Correspondence

Disposition: Temporary Record. Retain 5 years.

General ISD Files

Disposition: Temporary Record. Retain 2 years.

ENROLLMENT SUMMARIES (PERS+)

Disposition: PERMANENT RECORD.

INTEGRATED POSTSECONDARY EDUCATION DATA SYSTEMS (IPEDS)

SURVEYS

Disposition: PERMANENT RECORD.

WEB SITES

Disposition: PERMANENT RECORD. RETAIN A "SNAP SHOT" OF COMPLETE WEB SITE INFORMATION ANNUALLY OR AS OFTEN AS SIGNIFICANT CHANGES ARE MADE TO THE SITE.

PUBLIC RELATIONS MATERIALS

Disposition: PERMANENT RECORD.

CHANCELLOR'S ANNUAL REPORTS, UPDATES, AND OTHER SPECIAL REPORTS

Disposition: PERMANENT RECORD.

CHANCELLOR'S REPORT NEWSLETTERS

Disposition: PERMANENT RECORD.

BOARD BRIEFS

Disposition: PERMANENT RECORD.

NEWS RELEASES

Disposition: PERMANENT RECORD.

PHOTO FILES

Disposition: PERMANENT RECORD.

Resolutions and Invitations

Disposition: Temporary Record. Retain for useful life.

DPE Activity Calendars

Disposition: Temporary Record. Retain 3 years.

DPE Business Cards

Disposition: Temporary Record. Retain for useful life.

Stationary and Letterhead (DPS and Board)

Disposition: Temporary Record. Destroy superseded letterhead.

ACS Job Line Information

Disposition: Temporary Record. Retain for useful life.

ACS Logos

Disposition: Temporary Record. Retain for useful life.

Art Exhibition Files

Disposition: Temporary Record. Retain for useful life.

ALABAMA COLLEGE SYSTEM (ACS) FACT BOOKS

Disposition: PERMANENT RECORD.

Records documenting the implementation of the agency's approved RDA (copies of transmittal forms to the Archives and State Records Center, evidence of obsolete records destroyed, and annual reports to the State Records Commission)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

#### Copies of RDA

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the RDA is superseded.

#### **Managing Finances:**

Records documenting the preparation of a budget package and reporting of the status of funds, requesting amendments of allotments, and reporting program performance.

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting the requisitioning and purchasing of supplies and equipment, receipting and invoicing for goods, and authorizing payment for products.

Disposition: Temporary Record: Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting the bid process, including requests for proposals and unsuccessful responses.

Disposition: Temporary Record. Retain 7 years after the date bids were opened.

Records of original entry or routine accounting transactions, such as journals, registers, and ledgers - and funds deposited outside the state treasury.

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting requests for authorization from employees to travel on official business, and other related materials, such as travel reimbursement forms and itineraries.

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting contracts for personal services or personal property.

Disposition: Temporary Record. Retain 6 years after expiration of contract.

#### Financial Statements

Disposition: Temporary Record. Retain 10 years.

Encumbrance and Liquidation Reports (FMSGAL, FMFSGAL, etc.)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

#### Insurance Premium Records

Disposition: Temporary Record. Retain 6 years after the end of the fiscal year in which the records were created.

#### Federal Programs Grant Records

Disposition: Temporary Record. Retain 6 years after submission of final expenditure report.



Federal Vocational Administrative Funds Records (includes contract agreements, amendments, fund reports, and LEA transactions)

Disposition: Temporary Record. Retain 6 years after the end of the fiscal year in which the records were created.

IPEDS Finance Surveys

Disposition: Temporary Record. Retain 10 years.

Agency audit files (Audits by the Examiners of Public Accounts)

Disposition: Temporary Record. Retain 6 years after the end of the fiscal year in which the records were created.

Audit Correspondence

Disposition: Temporary Record. Retain 5 years.

Audit Working Papers (Internal Audit)

Disposition: Temporary Record. Retain 6 years.

Audit Reports (Internal Audit)

Disposition: Temporary Record. Retain 10 years.

Investment Credit Risk Forms

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

DPE Contract Files

Disposition: Temporary Record. Retain 6 years after expiration of the contract.

Service Contract Files

Disposition: Temporary Record. Retain 6 years after expiration of the contract.

AIDT CONTRACT FILES

Disposition: PERMANENT RECORD.

Skills Center Contract Files

Disposition: Temporary Record. Retain 6 years after expiration of the contract.

### **Managing Human Resources:**

Job recruitment materials

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

DPE Job Descriptions

Disposition: Retain in office.

CHANCELLOR SEARCH FILES

Disposition: PERMANENT RECORD.

PRESIDENTIAL SEARCH FILES

Disposition: PERMANENT RECORD.

Shuford Applicant Forms

Disposition: Retain in office.

Shuford Applicant Pool

Disposition: Retain in office.

SHUFORD CORRESPONDENCE TO LAWYERS AND COLLEGES

Disposition: PERMANENT RECORD.

SHUFORD ANNUAL REPORTS

Disposition: PERMANENT RECORD.

College Vacancy Requests and Approvals

Disposition: Retain in office.

Records documenting payroll

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records of final leave status

Disposition: Temporary Record. Retain record of individual employees' cumulative leave 6 years after separation of employee from the agency.

Records documenting an employee's work history - generally maintained as a case file

Disposition: Temporary Record. Retain 25 years after separation of an employee from the agency.

Records documenting sick leave donations

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Salary Schedules

Disposition: Retain in office.

Salary Listings

Disposition: Temporary Record. Retain 25 years.

Records documenting employee hours worked, leave earned, and leave taken

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Alabama College System Presidential Leave Files

Disposition: Temporary Record. Retain 25 years after President leaves The Alabama College System.

Flextime Schedules/Correspondence

Disposition: Temporary Record. Retain superseded flextime schedules 3 years.

Requests for Verification of Employment

Disposition: Temporary Record. Retain 3 years.

Records documenting payroll deductions for tax purposes

Disposition: Temporary Record. Retain 5 years after tax year.

Records documenting the administration of the unemployment compensation program

Disposition: Temporary Record. Retain 5 years.

Risk Management/On-the-Job Injuries Records

Disposition: Temporary Record. Retain 12 years.

Insurance Premium Records

Disposition: Temporary Record. Retain 6 years after the end of the fiscal year in which the records were created.

GHRIS Screen Information and Backup

Disposition: Temporary Record. Retain 5 years after information is superseded.

INDIVIDUAL STATE BOARD OF EDUCATION MEMBER FILES

Disposition: PERMANENT RECORD.

Immigration Reform and Control Act Records

Disposition: Temporary Record. Retain 3 years from date employee is hired or 1 year after termination of employment, whichever is later.

Records documenting the employee appeal of formal reprimands, personnel suits, demotions, transfers, or terminations

Disposition: Temporary Record. Retain 5 years following final decision.

Ethics Commission Compliance Files

Disposition: Temporary Record. Retain 5 years.

**Managing Properties Facilities, and Resources:**

Semiannual inventory lists

Disposition: Retain in office. (Code of Alabama 1975, Section 36-16-8[1])

## PROPERTY FILES

Disposition: PERMANENT RECORD.

Agency copies of transfer of state property forms (SD-1)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Inventory cards

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the items were removed from inventory.

Property inventory affidavits

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Receipts of responsibility for property

Disposition: Temporary Record. Retain until return of item to property manager.

Facilities Master Plans

Disposition: Temporary Record. Retain 20 years.

Building Commission Construction Contracts

Disposition: Temporary Record. Retain 6 years after expiration of contract.

Building Commission Inspection Reports

Disposition: Temporary Record. Retain 3 years.

Leases

Disposition: Temporary Record. Retain 6 years after expiration of the lease.

Housekeeping Records

Disposition: Temporary Record. Retain 3 years.

Records documenting telephone systems

Disposition: Temporary Record. Retain 3 years.

Emergency Contact Listings

Disposition: Temporary Record. Retain current listing.

## Approval of Records Disposition Authority

By signing this agreement the Department of Postsecondary Education acknowledges its responsibilities for the proper management of its records and agrees to abide by the implementation guidelines listed below:

- The Department of Postsecondary Education will designate a managerial position as the agency's records officer. This position is responsible for ensuring the development of quality record keeping systems that meet the business and legal needs of the agency, coordinating the transfer and destruction of records, ensuring that permanent records held on alternative storage media (such as microforms and digital imaging systems) are maintained in compliance with national and state standards, submitting an annual report on records management activities to the State Records Commission in April of each year, and ensuring the regular implementation of the agency's approved RDA.
- Permanent records in the Department of Postsecondary Education's custody will be maintained under proper intellectual control and in an environment that will ensure their physical order and preservation.
- Destruction of temporary records, as authorized in this RDA, should occur agency-wide on a regular basis--for example, after the successful completion of an audit, at the end of an administration, or at the end of a fiscal year. Despite the RDA's provisions, no record should be destroyed that is necessary to comply with requirements of the state Sunset Act, audit requirements, or any legal notice or subpoena.
- The board should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; and (3) migrating all permanent records when the system is upgraded or replaced. If the agency chooses to maintain permanent records solely in electronic format, it is committed to funding any system upgrades and migration strategies necessary to ensure the records' permanent preservation and accessibility.
- The Department of Postsecondary Education agrees to allow the staff of the State Records Commission or the Examiners of Public Accounts to examine the condition of the permanent records maintained in the custody of the agency and to inspect records destruction documentation. Government Records Division archivists are available to train the agency staff in RDA implementation and otherwise assist the agency in implementing its records management program.

This records disposition authority is hereby adopted.

By: \_\_\_\_\_ Date: \_\_\_\_\_  
Roy W. Johnson, Chancellor  
Department of Postsecondary Education

By: \_\_\_\_\_ Date: \_\_\_\_\_  
Edwin C. Bridges, Chairman  
State Records Commission